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Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>		Attorney Docket No. NFC1P027	
		First Inventor William B. CHAPMAN	
		Title METHOD AND APPARATUS FOR TUNING A LASER	
		Express Mail Label No. EF 397446131 US	

APPLICATION ELEMENTS		ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
<small>See MPEP chapter 600 concerning utility patent application contents.</small>			
<div>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original and a duplicate for fee processing)</small></div> <div>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</div> <div>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>36</u>] <small>(preferred arrangement set forth below)</small><ul style="list-style-type: none">- Descriptive title of the invention- Cross Reference to Related Applications- Statement Regarding Fed sponsored R & D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure</div> <div>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>8</u>] FIGS 1-6</div> <div>5. Oath or Declaration [Total Pages <u>3</u>]<div style="margin-left: 20px;"><div>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</div><div>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <small>(for continuation/divisional with Box 17 completed)</small><div style="margin-left: 20px;"><div>i. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small></div></div></div></div><div>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</div></div>		<div>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</div> <div>8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small><div style="margin-left: 20px;"><div>a. <input type="checkbox"/> Computer Readable Form (CRF)</div><div>b. Specification Sequence Listing on:<div style="margin-left: 20px;"><div>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</div><div>ii. <input type="checkbox"/> paper</div></div></div><div>c. <input type="checkbox"/> Statements verifying identity of above copies</div></div></div> <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">ACCOMPANYING APPLICATION PARTS<div>9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))</div><div>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small></div><div>11. <input type="checkbox"/> English Translation Document (if applicable)</div><div>12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <u>5</u> Copies of IDS Citations</div><div>13. <input type="checkbox"/> Preliminary Amendment</div><div>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small></div><div>15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small></div><div>16. <input checked="" type="checkbox"/> Other: 1- Check for \$876.00 1- Request and Certification Under 35 USC 122(b)(2)(B)(i)</div></div>	
<div>17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.<div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)</div><div>of prior application No. _____</div></div><div style="display: flex; justify-content: space-between;"><div><small>Prior application information</small> _____</div><div><small>Examiner</small> _____</div><div><small>Group / Art Unit</small> _____</div></div></div> <div style="font-size: small; margin-top: 5px;">For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.</div>			
18. CORRESPONDENCE ADDRESS			
<div><input checked="" type="checkbox"/> Customer Number or Bar Code Label or <input checked="" type="checkbox"/> Correspondence address below</div> <div style="text-align: center; border: 1px solid black; padding: 5px; margin: 5px 0;"><small>(Insert Customer No. or Attach bar code label, here)</small></div>			
Name		CARY & KELLY, LLP	
		ATTN: Charles C. Cary	
Address		1875 Charleston Road	
City	Mountain View	State	California
		Zip Code	94043
Country	United States	Telephone	(650) 316-4011
		Fax	(650) 316-4013
Name (Print/Type)		Registration No. (Attorney/Agent)	36,764
Signature		Date	May 4, 2001

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<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2001</h2> <p style="font-size: small; margin: 5px 0;">Patent fees are subject to annual revision.</p>		Complete if Known													
TOTAL AMOUNT OF PAYMENT		(\$) 876	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td>NOT YET ASSIGNED</td> </tr> <tr> <td>Filing Date</td> <td>May 4, 2001</td> </tr> <tr> <td>First Named Inventor</td> <td>CHAPMAN, William B.</td> </tr> <tr> <td>Examiner Name</td> <td>N/A</td> </tr> <tr> <td>Group Art Unit</td> <td>N/A</td> </tr> <tr> <td>Attorney Docket No.</td> <td>NFC1P027</td> </tr> </table>	Application Number	NOT YET ASSIGNED	Filing Date	May 4, 2001	First Named Inventor	CHAPMAN, William B.	Examiner Name	N/A	Group Art Unit	N/A	Attorney Docket No.	NFC1P027
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Examiner Name	N/A														
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<h3 style="text-align: center; margin: 0;">METHOD OF PAYMENT</h3> <p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: 50-1338</p> <p>Deposit Account Name: CARY & KELLY, LLP</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p> <h3 style="text-align: center; margin: 0;">FEE CALCULATION</h3> <div style="border: 1px solid black; padding: 5px;"> <h4 style="margin: 0;">1. BASIC FILING FEE</h4> <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>101 710</td> <td>201 355</td> <td>Utility filing fee</td> <td>\$710</td> </tr> <tr> <td>106 320</td> <td>206 160</td> <td>Design filing fee</td> <td>\$0</td> </tr> <tr> <td>107 490</td> <td>207 245</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108 710</td> <td>208 355</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114 150</td> <td>214 75</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (1)</td> <td>(\$) 710</td> </tr> </tbody> </table> </div> <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> <h4 style="margin: 0;">2. EXTRA CLAIM FEES</h4> <table style="width: 100%; font-size: x-small;"> <tr> <td>Total Claims</td> <td>27</td> <td>-20 =</td> <td>7</td> <td>Extra Claims</td> <td>7</td> <td>Fee from below</td> <td>\$18</td> <td>Fee Paid</td> <td>\$126</td> </tr> <tr> <td>Independent Claims</td> <td>3</td> <td>-3 =</td> <td>0</td> <td></td> <td>0</td> <td></td> <td>\$80</td> <td></td> <td>\$0</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>\$0</td> </tr> </table> </div> <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>103 18</td> <td>203 9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>102 80</td> <td>202 40</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104 270</td> <td>204 135</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>109 80</td> <td>209 40</td> <td>** Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110 18</td> <td>210 9</td> <td>** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (2)</td> <td>(\$) 126</td> </tr> </tbody> </table> </div> <p style="font-size: x-small; margin-top: 5px;">**or number previously paid, if greater. For Reissues, see above</p>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101 710	201 355	Utility filing fee	\$710	106 320	206 160	Design filing fee	\$0	107 490	207 245	Plant filing fee		108 710	208 355	Reissue filing fee		114 150	214 75	Provisional filing fee		SUBTOTAL (1)			(\$) 710	Total Claims	27	-20 =	7	Extra Claims	7	Fee from below	\$18	Fee Paid	\$126	Independent Claims	3	-3 =	0		0		\$80		\$0	Multiple Dependent									\$0	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	103 18	203 9	Claims in excess of 20		102 80	202 40	Independent claims in excess of 3		104 270	204 135	Multiple dependent claim, if not paid		109 80	209 40	** Reissue independent claims over original patent		110 18	210 9	** Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)			(\$) 126	<h3 style="text-align: center; margin: 0;">3. 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margin-top: 5px;">* Reduced by Basic Filing Fee Paid</p>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath	\$0	127 50	227 25	Surcharge - late provisional filing fee or cover sheet	\$0	139 130	139 130	Non-English specification	\$0	147 2,520	147 2,520	For filing a request for ex parte reexamination	\$0	112 920*	112 920*	Requesting publication of SIR prior to Examiner action	\$0	113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	\$0	115 110	215 55	Extension for reply within first month	\$0	116 390	216 195	Extension for reply within second month	\$0	117 890	217 445	Extension for reply within third month	\$0	118 1,390	218 695	Extension for reply within fourth month	\$0	128 1,890	228 945	Extension for reply within fifth month	\$0	119 310	219 155	Notice of Appeal	\$0	120 310	220 155	Filing a brief in support of an appeal	\$0	121 270	221 135	Request for oral hearing	\$0	138 1,510	138 1,510	Petition to institute a public use proceeding	\$0	140 110	240 55	Petition to revive - unavoidable	\$0	141 1,240	241 620	Petition to revive - unintentional	\$0	142 1,240	242 620	Utility issue fee (or reissue)	\$0	143 440	243 220	Design issue fee	\$0	144 600	244 300	Plant issue fee	\$0	122 130	122 130	Petitions to the Commissioner	\$0	123 50	123 50	Petitions related to provisional applications	\$0	126 240	126 240	Submission of Information Disclosure Stmt	\$0	581 40	581 40	Recording each patent assignment per property (times number of properties)	\$40	146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	\$0	149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	\$0	179 710	279 355	Request for Continued Examination (RCE)	\$0	169 900	169 900	Request for expedited examination of a design application	\$0	Other fee (specify)			\$0	SUBTOTAL (3)			(\$) 40
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SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Charles C. Cary	Registration No. (Attorney/Agent)	36,764
Signature		Telephone	(650) 316-4011
		Date	May 4, 2001

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REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)	First Named Inventor	CHAPMAN, William B.
	Title	METHOD AND APPARATUS FOR TUNING A LASER
	Atty Docket Number	NFC1P027

I hereby certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

04-May-2001

Date



Signature

Charles C. Cary Reg. # 36,764

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**